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Technology Center 2100

Attorney Docket No. 1302-1000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application: Swearingen et al.
Serial No. 09/569,656
Filed: May 12, 2000
Art Unit: 2768
Examiner: Unassigned
For: Method and System for Graphically Differentiating User Preferred Securities
From One Another

Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

As listed on the accompanying form PTO-1449, submitted herewith are copies of the indicated references which applicant believes may be material to the examination of the above-identified application, and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Further, the filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Written notification that the enclosed references have been considered in their entirety by return of a copy of the enclosed form, completed by the Examiner, is respectfully requested.

IDENTIFICATION OF TIME OF FILING THE
INFORMATION DISCLOSURE STATEMENT

- [X] This Information Disclosure Statement is being filed within three months of the filing date of the national application other than a continued prosecution application under §1.53(d) or within three months of the date of entry of the national stage as set forth in §1.491 in an international application or before the mailing date of a first Office Action on the merits or before the mailing of a first Office Action after the filing of a request for continued examination under §1.114. (37 CFR §1.97(b)).
- [] This Information Disclosure Statement is being filed after the period specified in 37 CFR §1.97(b) but before the mailing date of a final action under §1.113 or a notice of allowance under §1.311 or an action that otherwise closes the prosecution in the application. (37 CFR §1.97(c)).

Accompanying this transmittal is:

- ☐ the statement specified in 37 CFR §1.97(e); or
- ☐ the fee set forth in 37 CFR §1.17(p) of \$180.00.
- ☐ This Information Disclosure Statement is being filed after the period specified in 37 CFR §1.97(c) but before or simultaneously with the payment of the issue fee. (37 CFR §1.97(d)).

Accompanying this transmittal is:

- a. the statement as specified in 37 CFR §1.97(e); and
- b. the fee set forth in 37 CFR §1.17(p) of \$180.00.

CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT 37 CFR §1.97(e)
(Only if Required Above)

I, the person(s) signing below certify:

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. (37 CFR §1.97(e)(1)); or
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in the counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonably inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement. (37 CFR §1.97(e)(2)).

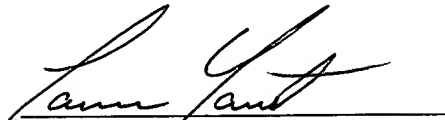
FEE PAYMENT

- ☐ attached is a check in the amount of \$180.00
- ☐ charge Deposit Account No. 03-1130 \$180.00

A duplicate of this request is attached. Applicant believes no additional fees are due for the filing of this IDS. However, if any additional fees are due, or any overpayments have been made, please charge, or credit, Deposit Account No. 03-1130.

Dated this 24th day of October, 2001

Respectfully Submitted,



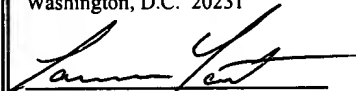
Lawrence R. Youst
Attorney for Applicant and Assignee
Registration No.: 38, 795

Smith, Danamraj & Youst, P.C.
12900 Preston Road
Suite 1200, LB-15
Dallas, TX 75230-1328
(972) 392-2696
(972) 720-1139 (FAX)

Date of Deposit: October 24, 2001

CERTIFICATE OF MAILING BY FIRST CLASS MAIL:

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231


Lawrence R. Youst

SMITH, DANAMRAJ & YOUST

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ATTORNEYS AND COUNSELORS
INTELLECTUAL PROPERTY LAW AND RELATED MATTERS

12900 PRESTON ROAD, SUITE 1200, LB 15
DALLAS, TEXAS 75230-1328

STEVEN W. SMITH
SHREEN K. DANAMRAJ
LAWRENCE R. YOUST

WRITER'S DIRECT DIAL NUMBER
(972) 392-2696

TELEPHONE (972) 720-1202
FAX (972) 720-1139

WRITER'S EMAIL ADDRESS
lawrence@sdylaw.com



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DEC 18 2001

Technology Center 2100

October 24, 2001

Commissioner for Patents
Washington, D.C. 20231

Re: Serial No.: 09/663,151
Method and System for Executing Trades in a User Preferred Security
Our File: 1302-1001

Dear Sir:

Enclosed for filing please find the following items relating to the above-identified application:

- (1) Information Disclosure Statement;
- (2) Form PTO-1449 with references; and
- (3) Postcard.

Please file the above and return the date-stamped postcard to our office at the address listed above. In the meantime, if you have any questions or comments concerning this matter, please call the undersigned at your earliest convenience. Otherwise, please accept the enclosed.

Sincerely,

Lawrence R. Youst
Reg. No. 38,795

Enclosures

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2161#2
BT
12.26.01